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**Programme questions: evaluation**

# Evaluation of the United Nations Office on Drugs and Crime

## Report of the Office of Internal Oversight Services

## "The United Nations Office on Drugs and Crime has delivered important results across a growing body of mandates; however, more attention to evidence-based analysis, alignment of corporate vision with programmes, and accountability would make its work more effective"

*Summary*

The present report contains the assessment of the Office of Internal Oversight Services (OIOS) of the United Nations Office on Drugs and Crime (UNODC) relevance and effectiveness in its functional areas of normative services, research and analysis, and technical assistance.

Against a backdrop of little change in global drugs and crime levels over the past four years, UNODC has performed strongly in its normative function of supporting countries in their ratification of key international legal instruments and associated enabling policies. The cumulative number of ratifications has improved considerably in recent years.

* E/AC.51/2013/1.

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In research and analysis, there are a number of results. UNODC flagship publications, especially the annual *World Drug Report*, have contributed to increased awareness and influenced debate. The recent UNODC series of transnational organized crime threat assessments have received considerable attention; however, their influence on ensuing policy and institutional change is unclear. At the national level, results are most apparent for select coca and opium crop surveys, which have served as direct input to crop eradication and alternative development policies. More broadly, however, there is a need to strengthen the contribution of UNODC to the production and use of evidence-based analysis and knowledge-sharing to better support decision-making of its own and that of other actors in the rule of law and development arenas.

On technical assistance, there are a number of country-specific results associated with enhancing institutional capacity to implement policies and enable action in addressing drugs and crime challenges. However, the provision of technical assistance has not always been prioritized based on national or regional priorities. Instead, it has been primarily responsive to ad hoc donor initiatives. While progress has been made in integrating the work along thematic areas, operations remain fragmented among 297 ongoing projects, for which expenditures and outputs — but not outcomes — are tracked regularly. The lack of metrics for assessing the effectiveness of its work and the lingering difficulties in aligning work planning are owing in part to the inflexibility and unpredictability of extrabudgetary funding. This is a major management constraint that limits the ability of UNODC to prioritize and focus, at both the overall corporate and field-operation levels.

UNODC faces the overarching challenge to distil its strategic and operational focus around a limited number of areas to which it can bring unique value-added or comparative advantage by aligning its mandate, resources, expertise, past performance and partnerships.

Following are five important OIOS recommendations for UNODC, which UNODC has accepted:

- To focus on translating its corporate vision through fully integrating its functional areas and aligning its thematic and geographic programmes
- To operationalize an integrated knowledge management strategy
- To improve its functions for guidance and support to programme planning, monitoring and results reporting
- To implement its fundraising strategy with special focus on reducing earmarking of extrabudgetary contributions
- To establish a mechanism to ensure formal, systematic tracking of organizational actions that it takes in response to its evaluation recommendations.

# Contents


| | | Page |
|---|---|---|
| I. | Introduction | 4 |
| II. | Background | 4 |
| III. | Scope and methodology | 6 |
| IV. | Evaluation results | 11 |
| V. | Conclusion | 26 |
| VI. | Recommendations | 27 |
| Annex | | |
| | Management response dated 26 March 2013 to the Evaluation of the United Nations Office on Drugs and Crime | 28 |

# I. Introduction

1. The Office of Internal Oversight Services (OIOS) conducted an evaluation of UNODC on the basis of a risk assessment undertaken in 2008. The Committee for Programme and Coordination selected the evaluation for consideration at its fifty-third session in June 2013.[1] The General Assembly endorsed the selection in resolution 66/8.

2. In accordance with the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, the objective of evaluation is to determine as systematically and objectively as possible the relevance, the efficiency, the effectiveness and the impact of the activities of the Organization in relation to their objectives.[2] As discussed in the section of the report on scope and methodology, the evaluation focused on the relevance and effectiveness of UNODC.

# II. Background

### History and mandate of the United Nations Office on Drugs and Crime

3. The United Nations began work in the area of drugs in 1946, through the establishment of the Commission on Narcotic Drugs, a functional Commission of the Economic and Social Council.[3] The United Nations International Drug Control Programme was established pursuant to General Assembly resolution 45/179 of 21 December 1990 as the body responsible for coordinated international action in the field of drug abuse control. Additionally, the Committee on Crime Prevention and Control was established in 1971 and modified to the Crime Prevention and Criminal Justice Programme through General Assembly resolution 46/152 of 18 December 1991. In 1992, it was further transformed into a functional commission of the Economic and Social Council as the Commission on Crime Prevention and Criminal Justice.[4] In 1997, the secretariat of that Commission was consolidated with UNDCP to form the new Office for Drug Control and Crime Prevention.[5] The Office was renamed UNODC in 2002.

4. The overarching mandate of UNODC is to work with Member States to enhance their responses to the intertwined problems of drug use, trafficking, global crime and terrorism by helping to create and strengthen legislative, judicial and health systems to safeguard the most vulnerable persons in our society.[6] Its technical work flows from a variety of mandates, including international legal instruments.[7] The strategic frameworks for 2010-2011 and 2012-2013 include drug control, crime prevention and combating international terrorism in all its forms and manifestations[8] as one of the eight overall priorities of the United Nations.

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[1] See A/66/16, para. 66.
[2] ST/SGB/2000/8, regulation 7.1.
[3] See E/RES/1946/9(I).
[4] See ECOSOC/1992/1.
[5] See A/51/950, paras. 143-145.
[6] See A/65/6/Rev.1, para. 13.1.
[7] See A/63/6/Rev.1.
[8] See A/63/6/Rev.1 and A/65/6/Rev.1.

**Governance and operations**

5. The Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice, reporting to the Economic and Social Council, are the principal United Nations policy-making bodies on drug control and crime prevention issues.[9] The Commissions adopt a consolidated biennial budget and the Fifth Committee of the General Assembly approves the biennial budget for the programme. An Executive Director, accountable to the Secretary-General, heads UNODC.

6. Four divisions implement the work of UNODC; three are responsible for the substantive work, namely, the Division of Treaty Affairs, the Division for Policy Analysis and Public Affairs and the Division for Operations; and the fourth, the Division for Management, handles administration. UNODC has a staff of 129 regular budget posts and 357 extrabudgetary posts.[10] In addition to its headquarters in Vienna, UNODC has regional, country, programme or project offices in 66 countries, with its activities extending to over 150 countries.[11]

**Budget**

7. The UNODC budget for the period 2012-2013 was US$ 517 million (see table 1), of which 8 per cent (US$ 41 million) was regular budget and the remaining 92 per cent (US$ 476 million) was extrabudgetary. Unearmarked general-purpose funds (a category of extrabudgetary resources) constituted less than 6 per cent of the UNODC budget for the biennium 2010-2011.[12]

Table 1
**Resource requirements by component**[13]
(Thousands of United States dollars)

(1) *Regular budget*

| *Component* | *2008-2009 expenditure* | *2010-2011 appropriation* | *2012-2013 estimate* |
|---|---|---|---|
| A. Policymaking organs | 1 469.3 | 1 900.4 | 1 305.3 |
| B. Executive direction and management | 825.0 | 659.7 | 1 471.3 |
| C. Programme of work | 35 951.1 | 35 543.1 | 37 346.6 |
| D. Programme support | 1 114.9 | 1 087.9 | 1 169.3 |
| **Subtotal** | **39 360.2** | **39 191.1** | **41 292.5** |

[9] See General Assembly resolution 46/185 A.
[10] See A/66/6 (Sect. 16) and Corr.1, table 16.6.
[11] See E/CN.7/2011/6-E/CN.15/2011/6.
[12] See E/CN.7/2011/3-E/CN.15/2011/3.
[13] See A/66/6 (Sect. 16) and Corr.1.

(2) *Extrabudgetary*

| *Component* | *2008-2009 expenditure* | *2010-2011 estimate* | *2012-2013 estimate* |
|---|---|---|---|
| B. Executive direction and management | 2 017.9 | 2 843.1 | 2 896.9 |
| C. Programme of work | 421 003.3 | 450 428.4 | 458 986.6 |
| D. Programme support | 20 320.4 | 13 991.3 | 14 257.0 |
| **Subtotal** | **443 341.6** | **467 262.8** | **476 140.5** |
| **Total (1) and (2)** | **482 701.8** | **506 453.9** | **517 433.0** |

# III. Scope and methodology

8. The evaluation pertains to the UNODC performance for the bienniums 2008-2009 and 2010-2011 in the thematic areas of organized crime and illicit trafficking, crime prevention and criminal justice, corruption and economic crime, and health and livelihoods, which constitute 95 per cent of UNODC resources.[14] OIOS focused on the attainment of "results", or intended short-term and medium-term effects of UNODC outputs, congruent with its strategic frameworks and consolidated budgets for 2008-2011.[15] These are reflected in the functions below:

(a) Normative services: facilitating the negotiation and the ratification of existing international legal instruments and their transformation into norms and policies, including on cross-border issues;

(b) Research and analysis: increasing knowledge and understanding of drugs and crime issues and expansion of the evidence base for policymaking and operations;

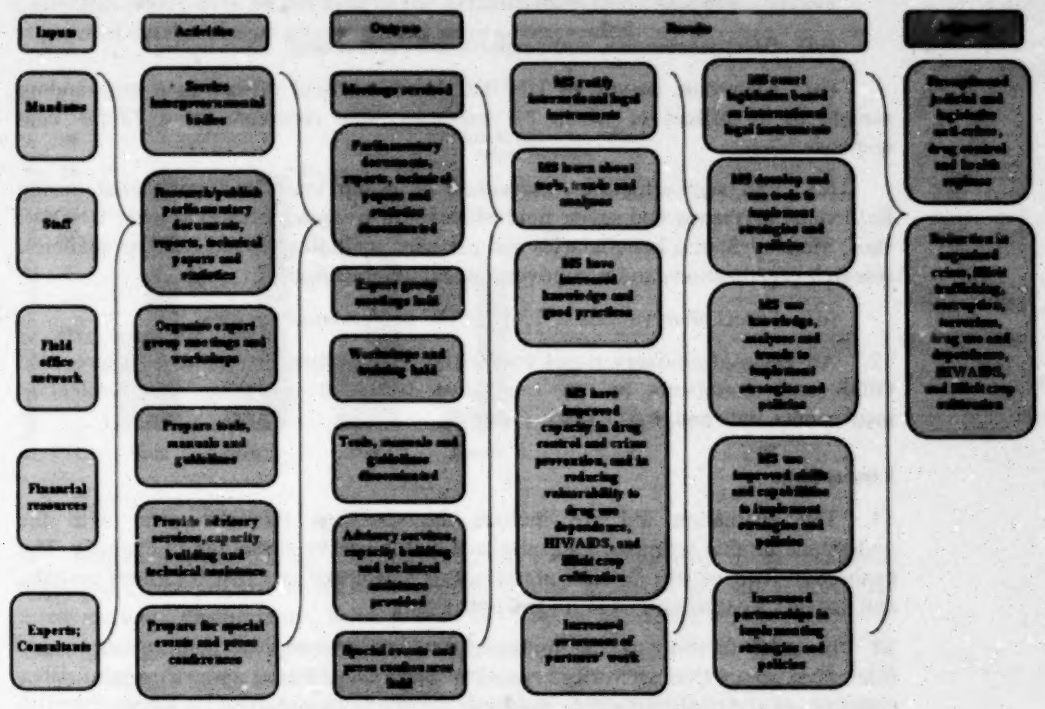
(c) Technical assistance: facilitating the implementation of existing international legal instruments and national capacity-building, inter alia, in the area of multilateral standards and norms.

9. UNODC has assisted Member States to address the prevailing challenges of drugs and crime through its functions, which are intended to be complementary and mutually supportive. Normative services enable legislative frameworks, which research and analysis support, and in turn technical assistance facilitates normative work and enables institutional capacity and implementation of policies. OIOS focused its assessment on UNODC contributions to results in these functions. On the basis of the UNODC strategic framework and as a supplementary analytical framework for this evaluation, OIOS developed the following programme impact pathway to bring focus to its evaluation methodology on the cross-cutting functional work of UNODC.

[14] See E/CN.7/2011/16-E/CN.15/2011/22.

[15] See E/CN.7/2007/14-E/CN.15/2007/5 and E/CN.7/2007/17-E/CN.15/2007/18.

**Programme impact pathway for UNODC**



*Source*: OIOS analyses.
*Abbreviation*: MS, Member States.

10. OIOS analysis included a review of UNODC work in 24 countries, using a stratified non-random sample of 30 locations with country or regional office presence. The 24 countries represent 79 per cent of the UNODC budget and staff in the field. Among these, OIOS visited seven locations during three data collection missions, where it observed programme activities and verified results. Country selections were based on an analytic framework that allowed OIOS to observe a range of activities across the themes.

11. The evaluation was informed by the following quantitative and qualitative data sources:

(a) Document review of:

(i) United Nations records and third-party documentation;

(ii) UNODC planning documents, instructions and guidance materials;

(iii) Monitoring and reporting data from the Integrated Monitoring and Documentation Information System (IMDIS) and the UNODC programme and Financial Information Management System (ProFi);

(iv) Performance data from 24 UNODC field offices;

(v) Meta-analysis of a purposive sample of 20 out of 85 UNODC project evaluation reports from 2008-2012;

(vi) External reviews, audit reports and evaluations;

(b) Electronic survey of UNODC heads of field offices in a non-random sample of 30 offices of which 22 responses were received, for a 73 per cent response rate;

(c) 254 semi-structured individual or group interviews conducted during field visits to Vienna and seven field offices[16] or over the telephone with: UNODC staff, Member States, beneficiaries and partners, including United Nations agencies, research organizations and non-governmental organizations;

(d) Direct observations of 35 UNODC project interventions.

12. An external advisory panel comprising four subject-matter experts provided OIOS with comments on the evaluation terms of reference, data collection instruments, data and draft report.

**Limitations**

13. The evaluation did not include the terrorism thematic area, with the understanding that it represents a new area that would be premature to evaluate. The evaluation focused on UNODC performance during the last two biennium periods, and not on its contributions to longer-time changes.

14. In order to mitigate the limitations to the coverage of country-level data, inferences about UNODC effectiveness at large were based upon triangulation of quantitative and qualitative data, field-site observations and expert opinions.

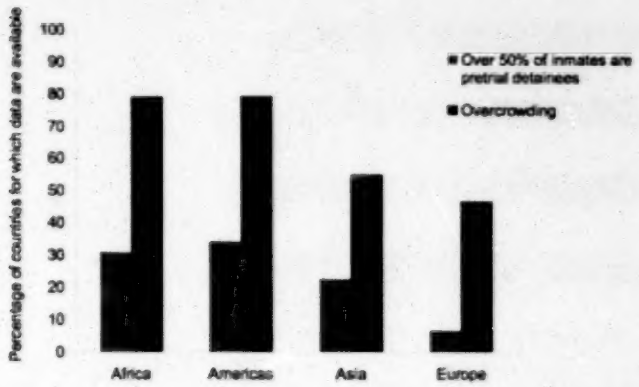
**Global drugs and crime challenges**

15. In the past five years, the magnitude of global problems of drugs and crime has remained relatively unchanged, as is the case of crime prevention and criminal justice, where challenges remain with a high share of the prison population in pre-trial and/or in overcrowded facilities, as set out in figure I. Against this backdrop, UNODC assists Member States to strengthen the rule of law by enhancing their capacities to develop and maintain fair, humane and accountable criminal justice systems. Corruption, however, undermines the rule of law and allows other forms of crime to flourish. For example, in 2009, bribes and drugs were the two largest income generators in Afghanistan, amounting to about half of the country's gross domestic product.[17]

[16] Afghanistan, Indonesia, Mexico, Myanmar, Pakistan, Panama and South Africa.

[17] See United Nations Office on Drugs and Crime, *Corruption in Afghanistan: Bribery as Reported by Victims* (January 2010).

Figure I
**Countries where over 50 per cent of the prison population consisted of pretrial detainees and where prisons were overcrowded**



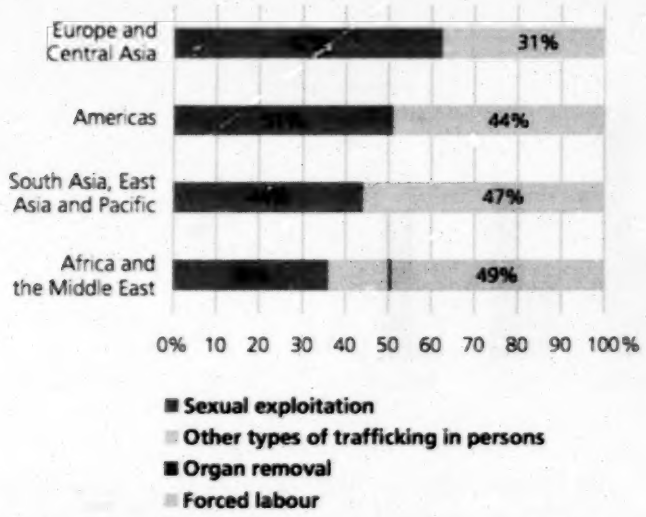

*Source*: A/CONF.213/3.

16. Illegal drug trafficking contributes to the high profitability of transnational organized crime groups, which have expanded their networks to exploit emerging illicit markets. Furthermore, these groups have taken advantage of innovations in transportation and information technology that service legal markets, making trafficking easier and profitable. Table 2 sets out the global annual revenues from different forms of transnational organized crime. In human trafficking, between 2007 and 2010, forced labour and sexual exploitation constituted the most frequent forms of exploitation in all regions (see figure II).

Table 2
**Global revenues**

| *Type of crime* | *Estimate in United States dollars* | *Year* | *Source* |
|---|---|---|---|
| All criminal proceeds | 2.1 trillion | 2009 | UNODC, 2011 |
| Money-laundering (all) | 1.6 trillion | 2009 | UNODC, 2011 |
| Money-laundering (transnational organized crime) | 580 billion | 2009 | UNODC, 2011 |
| Organized crime (all) | 870 billion | 2009 | UNODC, 2011 |
| Drug trafficking | 322 billion | 2003 | UNODC, 2005 |
| Counterfeiting | 250 billion | 2009 | Organization for Economic Cooperation and Development |
| Trafficking in persons | 31.6 billion | 2005 | International Labour Organization |
| Trafficking in arms | 0.3-1 billion | 2011 | Global Financial Integrity/Small Arms Survey/UNODC |

Figure II
**Forms of exploitation, shares of the total number of detected victims, by region (2007-2010) (in percentage)**




*Source*: *Global Report on Trafficking of Persons*, UNODC, 2012.
*Note*: y-axis regions; x-axis percentage of detected victims.

17. On the demand side, persons who use drugs are estimated to constitute around 5 per cent of the world's adult population (230 million in 2010). By drug type, cannabis is the most used drug, followed by opioids and amphetamines.[17] A stable infrastructure of crop cultivation and drug production has upheld the prevalence of drug use. Following a dip during the period 2000-2002, opium poppy cultivation in Afghanistan has returned and exceeded prior levels, and Myanmar is an important producer. On the other hand, total coca production has declined by 6 per cent; from 158,800 hectares in 2009 to 149,200 hectares in 2010. Estimates on drug production and consumption may be underreported for countries where UNODC does not focus its surveys and for drugs not based on crops such as newer synthetic drugs.

18. Challenges remain in the health-related consequences of drug use, particularly the transmission of HIV between persons who inject drugs. Worldwide, about 3 million out of an estimated 16 million persons who inject drugs are HIV-positive.[18] In 49 countries with available data, the prevalence of HIV infection among persons who inject drugs was at least 22 times higher than for the rest of the population.[19] Among the subpopulation of persons who inject drugs in high-risk environments like prisons, prevalence is even worse, by some estimates over 40 per cent;[20] however, HIV prevention, treatment and care for persons who inject drugs remain

[18] Bradley M. Mathers et al., "The global epidemiology of injecting drug use and HIV among people who inject drugs: a systematic review", *The Lancet*, vol. 372 (9651) (15 November 2008).
[19] See *UNAIDS Report on the Global AIDS Epidemic 2012* (UNAIDS, Geneva, 2012).
[20] See World Health Organization, "Effectiveness of interventions to address HIV in prisons" (Geneva, 2007).

poorly funded and limited in reach in many countries.[21] Additionally, many countries classify drug use as a crime rather than a health issue, thereby reducing accessibility to treatment.[22]

# IV. Evaluation results

## A. Through its normative work at headquarters and in the field, UNODC has assisted Member States to ratify international legal instruments and to enact domestic legislation in line with those instruments

### UNODC work has contributed to the increased ratification of international legal instruments, particularly the United Nations Convention against Transnational Organized Crime and the protocols thereto, and the United Nations Convention against Corruption

19. As the secretariat to intergovernmental bodies, UNODC serviced meetings and provided parliamentary documentation, thereby facilitating the dialogue among Member States, civil society and other international organizations to develop and agree upon global standards and norms. For example, its support to the intergovernmental processes led to the adoption by the General Assembly of new standards and norms in the crime prevention and criminal justice reform area. In UNODC surveys, 75 per cent of the members of the extended bureaux of the Commission on Narcotic Drugs and the Commission on Crime Prevention and Criminal Justice expressed satisfaction with the quality and the timeliness of technical and substantive services provided by the secretariat at the end of the biennium 2010-2011. Member State interviewees also expressed overall satisfaction with the UNODC secretariat services.

20. Beyond servicing intergovernmental bodies, UNODC has been the custodian of key legal instruments, notably (a) the United Nations Convention against Transnational Organized Crime and the Protocols thereto[23] (for example the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children; the Protocol against the Smuggling of Migrants by Land, Sea and Air; and the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition); and (b) the United Nations Convention against Corruption,[24] among others.

21. In its resolution 66/181, the General Assembly reaffirmed the importance of the United Nations Convention against Transnational Organized Crime and the Protocols thereto and urged Member States to ratify or accede to these and the United Nations Convention against Corruption. Table 3 sets out the total number of parties to these Conventions. Ratifications have increased since 2008, with

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[21] See Bradley M. Mathers et al., "HIV prevention, treatment, and care services for people who inject drugs: a systematic review of global, regional, and national coverage", *The Lancet*, vol. 375 (9719) (20 March 2010).

[22] Alex Wodak, "Demand Reduction and Harm Reduction", working paper for the First Meeting of the Global Commission on Drug Policies, Geneva, 24-25 January 2011.

[23] United Nations, *Treaty Series*, vols. 2225, 2237, 2241 and 2326, No. 39574.

[24] Ibid., vol. 2349, No. 42146.

34 additional parties to the United Nations Convention against Transnational Organized Crime and 58 additional parties to the United Nations Convention against Corruption.

Table 3
**Status of ratifications**[25]

| *Instrument* | *Entry into force* | *As at 1/1/08* | *As at 1/1/09* | *As at 1/1/10* | *As at 1/1/11* | *As at 1/1/12* | *As at 1/1/13* |
|---|---|---|---|---|---|---|---|
| United Nations Convention against Transnational Organized Crime | 29/9/3 | 139 | 147 | 152 | 158 | 165 | 173 |
| Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children | 25/12/3 | 116 | 124 | 135 | 142 | 147 | 154 |
| Protocol against the Smuggling of Migrants by Land, Sea and Air | 28/1/4 | 110 | 117 | 122 | 126 | 129 | 135 |
| Firearms Protocol | 3/7/5 | 67 | 77 | 79 | 83 | 90 | 97 |
| United Nations Convention against Corruption | 14/12/5 | 107 | 129 | 143 | 148 | 158 | 165 |

22. UNODC is also the custodian of three drug control instruments.[26] As these entered into force earlier, the increase in the number of ratifications was smaller as compared to the United Nations Convention against Transnational Organized Crime and the United Nations Convention against Corruption.

23. UNODC supported Member States in their ratification of the United Nations Convention against Transnational Organized Crime and the protocols thereto and the United Nations Convention against Corruption through advisory services. Examples are provided in boxes 1 and 2 below.

Box 1
**United Nations Convention against Transnational Organized Crime and the protocols thereto**

UNODC held high-level meetings and provided legal advice to seven Member States of the Southern African Development Community resulting in, by way of example, Swaziland ratifying the United Nations Convention against Transnational Organized Crime and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children in 2012.

[25] United Nations Treaty Series Online Collection; the difference in numbers between the years represents the number of Member States that ratified, accepted, approved or acceded to the instruments in the respective years.

[26] Single Convention on Narcotic Drugs, 1961, as amended by the 1972 Protocol; the United Nations Convention on Psychotropic Substances; and the Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 20 December 1988.

Box 2
**United Nations Convention against Corruption**

UNODC provided technical advice to Myanmar on ratification requirements, culminating in ratification in 2012. In partnership with the United Nations Development Programme, UNODC held a pre-ratification workshop for 40 members of the Government, including ministry officials, parliamentarians and the judiciary.

24. In addition to assisting Member States with their ratification of international instruments, in 2009, UNODC facilitated the Conference of the States Parties to the United Nations Convention against Corruption in its adoption of resolution 3/1 establishing a mechanism to assist in the effective implementation of the Convention. As the secretariat to the mechanism, UNODC assisted in the peer country reviews to analyse the status of countries' implementation of the United Nations Convention against Corruption. This, in turn, helped identify gaps where a country required technical assistance. Subsequently, UNODC compiled and provided summary information on the implementation of two chapters of the United Nations Convention against Corruption based on country review reports.[27] While the review mechanism is in its early stages, it should play a critical role for UNODC in identifying the needs of Member States and measuring post-ratification outcomes.

**UNODC technical expertise has supported Member States to enact and amend domestic legislation and develop policies in line with international legal instruments**

25. In tandem with the ratification of instruments, UNODC supported Member States to enact and amend domestic legislation and develop policies that dovetail with the Conventions and the United Nations standards and norms in crime prevention and criminal justice. During the biennium 2010-2011, UNODC reported having assisted Member States adopt 105 items of national legislation in the areas of drug control, transnational organized crime and corruption against a target of 107. In the 24 field offices reviewed by OIOS, UNODC reported having assisted with the enactment, the amendment and/or the development of approximately 200 separate national policies during the 2008-2012 period with the majority (35 per cent) of policies in organized crime and illicit trafficking, followed by health and livelihoods (27 per cent), corruption and economic crime (19 per cent), and crime prevention and criminal justice reform (19 per cent).

26. UNODC provided assistance primarily by (a) recruiting experts; (b) assessing legislative needs; (c) reviewing and drafting legislation; (d) providing substantive inputs in developing national policies; (e) providing tools such as model legislation; and (f) organizing national, regional and global meetings and workshops. Examples are provided in boxes 3 and 4.

[27] See CAC/COSP/IRG/2012/7 and Add.1; and CAC/COSP/IRG/2012/8.

Box 3
**Organized crime**

UNODC reviewed a draft law, provided feedback and shared model legislation with the National Human Rights Commission of Bangladesh to bring the draft in line with the United Nations Convention against Transnational Organized Crime and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children. Similarly, UNODC assisted with drafting maritime piracy laws in Kenya, Seychelles, Mauritius and Somalia. UNODC also assisted the Government of Afghanistan's Ministry of Counter Narcotics to revise the national drug control strategy and policies on counter-narcotics and alternative livelihoods.

Box 4
**Crime prevention and criminal justice reform**

UNODC conducted a baseline assessment of the prison system in Pakistan. Workshops were also conducted for prison departments and civil society along with the publication of a manual on prison inspection. In addition, UNODC assisted with reviewing legislation and drafting prison rules.

**Through its expertise and convener role, UNODC has facilitated cooperation on global norms to address cross-border issues**

27. In addressing cross-border issues, UNODC has added global and regional perspectives to interrelated thematic areas. UNODC organized regional meetings for heads of national drug law enforcement agencies to discuss drug trafficking trends, share information and develop a coordinated response to emerging challenges. At the subregional level, under the Triangular Initiative framework, UNODC facilitated a series of high-level meetings of senior officials from Afghanistan, the Islamic Republic of Iran and Pakistan on border management and security. The ministerial declaration signed by the three countries cemented this cooperation. Heads of UNODC field offices and donor interviewees cited the Triangular Initiative as one of the greatest successes of UNODC, stating that no other entity would have been able to broker a drug control initiative among these countries.

28. Within some countries, UNODC also catalysed discussion and negotiation among stakeholders from different ministries and government agencies, such as those charged with anti-human trafficking initiatives in Mexico. UNODC also provided a forum for different parts of the Government of Indonesia and civil society organizations to discuss an anti-corruption strategy.

29. UNODC regional offices have provided a platform for Governments to find solutions by sharing practices on addressing common threats and challenges. A meta-analysis of UNODC evaluations confirmed its comparative advantage of fostering interregional cooperation. Its status as a United Nations entity has brought

credibility and impartiality to open the door for donor support to ministries and government agencies. Heads of UNODC field offices and Member State interviewees also noted that UNODC neutrality and expertise on cross-border issues has strengthened political support and confidence-building among countries.

## B. Through its research and analysis, UNODC has increased knowledge and understanding of global drugs and crime trends; however, utility for policy and operational decision-making is not tracked consistently

30. UNODC research and analytical work consists primarily of (a) flagship reports; (b) surveys; (c) gap and threat assessments; (d) repositories of statistics and legal decisions; and (e) laboratory and forensic science services. For many of these it must be noted that UNODC methodology relies heavily on information self-reported by national institutions through questionnaires, for example, the annual report questionnaire on drug supply and use and the United Nations Surveys of Crime Trends and Operations of Criminal Justice Systems. Therefore, there is variability in the quality and the availability of data, lack of harmonization and potential bias. Nevertheless, technical analysts, government officials and other stakeholders appreciated UNODC for providing global, regional and national data on drugs and crime trends.

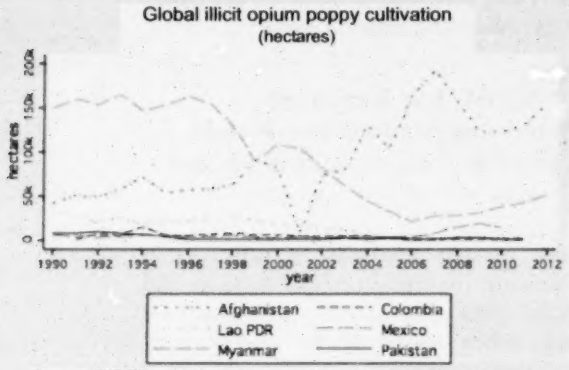
### UNODC research and analysis has most notably contributed to evidence-based decision-making through its crop-monitoring surveys

31. Most notably, UNODC has provided evidence to inform decision-making in the drug crop-monitoring and eradication areas. UNODC has produced (a) opium surveys in the Lao People's Democratic Republic, Myanmar and Afghanistan; (b) coca surveys in Bolivia (Plurinational State of), Colombia, Ecuador and Peru; and (c) cannabis surveys in Afghanistan. For these countries, as indicated by citations, media has used UNODC reports as the primary source of data. Moreover, from interviews with Member States and UNODC staff, it is evident that crop surveys have informed decisions on counter-narcotics strategies and eradication efforts, for example, in Bolivia, Colombia and Afghanistan.

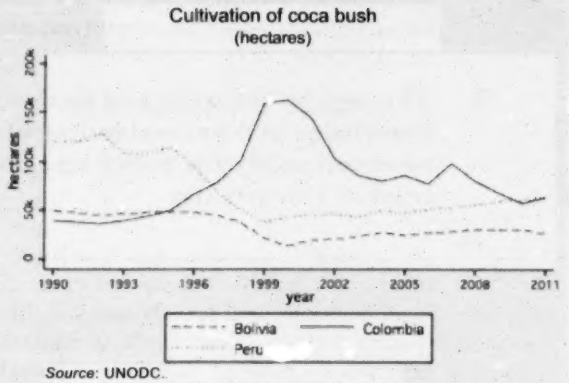
32. Google Trends data on Internet search patterns also reflected the prominence of UNODC work in crop monitoring; from 2008 through 2012, the ranking of search-term volumes for UNODC bore close resemblance to those of regions and cities where it assisted governments with counter-narcotics strategies through its crop monitoring surveys. Following Austria and Vienna, UNODC was searched the most in Colombia and Bogota. In addition, the terms searched the most frequently with UNODC included Colombia, trafficking, Afghanistan and drug report.

33. The most recent trends for coca and opium for select countries are reflected below in figures III and IV, with coca bush cultivation having decreased in Bolivia and opium poppy cultivation having remained stable in Pakistan.

Figures III and IV
**Cultivation of opium poppy and coca bush**




*Source*: UNODC.
*Note*: y-axis: thousands of hectares; x-axis: years.




*Source*: UNODC.
*Note*: y-axis: thousands of hectares; x-axis: years.

**While UNODC has contributed to an increased understanding of drugs and crime trends, the lack of a corporate dissemination strategy, quality controls and systematic processes to track outcomes leaves utility and influence uncertain**

34. UNODC has used its research and analysis to increase public awareness of drugs and crime challenges. Based on the documentary submissions from the 24 UNODC field offices, UNODC disseminated its research and analysis primarily to (a) technical staff who received capacity-building from UNODC (for example, law enforcement staff, prosecutors and service-deliverers) (57.5 per cent); and (b) decision-makers at government ministries and agencies who received advisory services from UNODC to inform policy-making (18.8 per cent). The remainder consisted of civil society organizations and the general public.

35. Beyond its research and flagship publications, UNODC has a number of broader public outreach and advocacy campaigns such as "Blue Heart" or "UN.GIFT" on human trafficking and its most recent campaign on combating transnational organized crime. The most recent campaign launched a public service announcement that has been viewed more than 84,000 times since mid-2012. Additionally, UNODC social media efforts have supplemented its public outreach efforts. For example, since March 2012, the number of corporate Twitter account followers increased by 65 per cent, from 14,426 to 23,834, and Facebook numbers increased by 56 per cent, 16,691 to 26,095. UNODC also has tracked data on indicators that reflect dissemination of, and access to, some of its key information. As evident in table 4 below, the data show a trend of increase since 2009 in terms of number of visitors and links, volume of downloads and data transfer, and number of citations to UNODC publications.

Table 4
**Research and analysis performance indicators**

| *Performance indicators* | *2009* | *2010* | *2011* | *Target for 2012-2013* |
|---|---|---|---|---|
| Volume/quantity of data usage by Member States through the UNODC central database | 175 000 data elements | 185 000 data elements | 204 750 data elements | n/a |
| Number of views/downloads from UNODC website | 1.5 million | 1.65 million | 2.1 million | 2.2 million |
| Number of unique visitors of UNODC website per month | n/a | n/a | 195 000 monthly | 213 000 monthly |
| Number of links to UNODC website | 30 000 links | 34 600 links | 49 125 links | n/a |
| Number of downloads of UNODC online statistical data | n/a | n/a | 46 000 downloads | 50 600 downloads |
| Number of citations to UNODC publications in Lexis-Nexis | 1 200 citations | 1 450 citations | 1 916 citations | 2 500 citations |

*Abbreviation*: n/a, not available.

36. UNODC also monitored downloads of and citations to a limited number of its flagship publications (see table 5).

Table 5
**Use of a sample of UNODC publications**

| | *2011* | | *2012* | |
|---|---|---|---|---|
| *Publication* | *Downloads* | *Citations* | *Downloads* | *Citations* |
| *World Drug Report 2012* | not applicable | not applicable | 173 325 | 321 |
| *World Drug Report 2011* | 94 962 | 345 | 149 753 | 302 |
| *World Drug Report 2010* | 54 770 | n/a | 40 888 | n/a |
| *The Globalization of Crime* | 28 258 | 191 | 71 096 | 186 |
| *Global Study on Homicide 2011* | 43 227 | 328 | 160 034 | 281 |
| *Global Report on Trafficking in Persons 2009* | 23 414 | n/a | 35 508 | n/a |
| Colombia coca cultivation survey 2011 | n/a | n/a | 12 458 | n/a |
| Bolivia Coca Survey 2011 | n/a | n/a | 4 164 | n/a |
| Afghanistan Opium Winter Rapid Assessment Survey report 2011 | 8 833 | n/a | 6 082 | n/a |
| Afghanistan Opium Survey 2011 | 6 183 | n/a | 15 293 | 55 |
| The Global Afghan Opium Trade 2011: A Threat Assessment | 9 531 | n/a | 10 692 | n/a |

*Abbreviation*: n/a, not available.

37. One of the objectives of research and analysis is to expand the evidence base for policymaking and operations to ensure effective responses to drugs and crime. Other than the above records, however, UNODC did not measure the influence of its research and analysis. There was no corporate dissemination strategy, quality

controls or other systematic processes to determine the use and functional value of its research and analysis, such as readership analysis, surveys or electronic feedback tools. As an exception, in November 2010, in preparation for the 2011 *World Drug Report*,[28] UNODC piloted its first external structured survey of statistics contained in the 2010 report. Overall, respondents rated positively the statistical quality and the presentation and used the statistical chapter primarily to compare countries. However, respondents criticized the insufficient emphasis on drug demand reduction statistics, insufficient analysis of drug data regarding drug policies, timeliness of data and overly broad indicators. In addition, 11 out of 24 field offices (46 per cent) reported that they did not have any information on dissemination, and 25 per cent of the research and analytic work that was reported on by the 24 field offices did not have any information on use. Of those that had use information, 31.4 per cent of the work informed decision-making and 12.8 per cent contributed to the adoption of a plan or strategy.

## C. UNODC has provided a valued source of expertise and solutions to facilitate capacity-building for country action; however, data gaps and outcome monitoring constraints pose challenges on result and impact measurement

38. UNODC provided technical expertise in areas such as law enforcement; illicit crop monitoring; alternative development; criminal justice reform; prison management; prevention, treatment and rehabilitation of persons who use drugs; and HIV prevalence among persons who inject drugs and in prisons. While UNODC has spent most of its resources in the field in capacity-building activities, insufficient prioritization and lack of information on outcomes constrain its ability to determine success and failure and therefore pose challenges to its effectiveness. On the basis of information received from 24 field offices, UNODC dedicated at least 75 per cent of field activity to outputs such as technical training, advisory services, guidance and mentorship, as well as the provision of tools, manuals, analysis, databases and e-learning programmes.

39. Based on OIOS field visits and through triangulation with the meta-analysis of UNODC evaluations, it is evident that UNODC has played a catalytic role in equipping government officials with knowledge and abilities to implement policies, action plans and strategies. There are a number of project-level cases for which outcomes have been credibly documented. Examples are provided in boxes 5 to 8.

[28] United Nations publication, Sales No. E.11.XI.10.

Box 5
**Criminal justice reform**

In Panama UNODC enhanced the capacity of 1,390 prison staff by 2011 through the penitentiary academy, which imparted technical training on the treatment of prisoners and the management of prisons. Newly trained prison staff provided services to 3,359 inmates in 2010, 5,647 in 2011, and 6,288 in 2012. In addition, since 2009, through trainings and regional learning exchanges, UNODC has helped to build sustainable criminal justice capacity in Kenya, Seychelles, Mauritius, United Republic of Tanzania, Maldives and Somalia to conduct fair and efficient maritime piracy trials and ensure humane and secure imprisonment of prisoners.

Box 6
**Corruption**

In Indonesia, UNODC enhanced the capacities of institutions and courts to monitor, detect and manage corruption investigations.

Box 7
**Organized crime and illicit trafficking**

The Container Control Programme has enhanced the capacities of customs and law enforcement officers to profile containers and carry out inspections and seizures, contributing to an increased number of seizures of illegal trafficking. For example, in 2012 in Latin America, an estimated 14.1 tons of cocaine was seized, with a street value of US$ 600,000. In Afghanistan, UNODC co-located at the Ministry of Counter-Narcotics and trained staff on ground-based surveys and satellite imagery studies to monitor opium and cannabis cultivation.

Box 8
**Health and livelihoods**

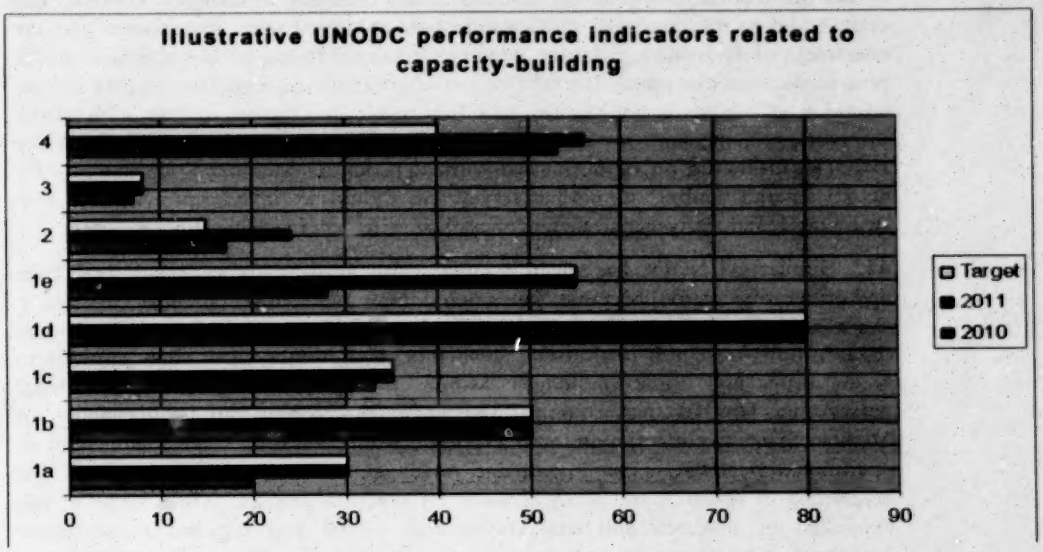
In the area of HIV/AIDS, UNODC has scaled up technical assistance, with a full spectrum of drug prevention treatment and social assistance in, for example, Myanmar, Latvia and Nepal. UNODC has also disseminated evidence-based good practices in drug dependence treatment in 26 countries in Africa through the local and national networks of governments and has created a monitoring centre for HIV and prisons in Latin America and the Caribbean.

40. These results notwithstanding, the limited amount of outcome data has constrained managers' abilities to take informed decisions about what does and does not work, what and where to prioritize and what UNODC's value-added is.

41. Between 2008 and 2012, UNODC had a total of 353 completed or ongoing projects through which it delivered thousands of discrete activities and outputs, including technical assistance to 150 countries. OIOS requested performance data information from 30 country offices pertaining to outputs and outcomes. Out of the reported 1,735 outputs in 24 countries, the majority of interventions were delivered as technical trainings (31.0 per cent) followed by workshops and conferences (21.0 per cent) and training-of-trainer sessions (2.9 per cent). Of these, 32 per cent had no outcome information, representing a huge gap in data necessary to determine effectiveness. This was also a recurring challenge noted in the seven field visits. Among the 1,181 interventions for which some outcome documentation did exist, UNODC heads of field offices indicated that 41.7 per cent led to enhanced capacities of technical staff and 10.7 per cent enabled officials to use policies and procedures.

42. UNODC performance indicators for projects and programmes are of mixed quality and with potential for bias; that is, the number of countries to which it provides assistance in the different themes; other indicators focus more on activities or outputs, rather than on field-level outcomes. Figure V contains some examples of indicators for UNODC capacity-building work, with 2010 and 2011 (cumulative) representing actual figures and "Target" representing the goal UNODC set for the 2010-2011 biennium.

Figure V




Indicator of performance

1. Number of countries utilizing tools, manuals and training materials for improving procedures and practices on: (a) criminal justice reform; (b) transnational organized crime; (c) corruption; (d) human trafficking; (e) money-laundering

2. Number of countries in receipt of UNODC assistance implementing evidence-based drug use prevention interventions

3. Increase number of Member States in receipt of UNODC assistance to design and implement sustainable alternative development programmes, including preventing and eliminating the illicit cultivation of opium poppy, coca bush and cannabis

4. Increased number of countries that have developed, adopted and implemented, with UNODC's assistance, programmes on HIV/AIDS as related to PWID, human trafficking and in prisons

## D. UNODC effectiveness is compromised by the still weak integrated programmatic focus, lack of a coherent corporate vision and weak outcome monitoring

### The weak integration of normative services, research and analysis, and technical assistance has limited the potential impact of UNODC

43. By not integrating fully its normative services, research and analysis, and technical assistance as part of a corporate strategy, UNODC has not leveraged its

position to assist Member States to determine where best to prioritize and whether or not ratification or legislation resulted in any meaningful changes. UNODC has contributed to the increased ratification of international legal instruments and the enactment of domestic legislation; however, it has not followed up systematically on post-ratification outcomes. The ratification of international legal instruments and the adoption of domestic legislation will not result in changes unless a domestic infrastructure, mechanisms and capacity are in place to implement them. While UNODC follow-up on its normative work depends on Member State demand for assistance and funding, its normative services should be linked more strongly with its research and analysis and technical assistance in order to have further impact.

44. Similarly, UNODC has not fully leveraged its position to be a conduit of drugs and crime information. Member States noted the unrealized potential of UNODC to share data, best practices and lessons learned from countries, international organizations, research institutions, academia, civil society and other partners in facing drugs and crime challenges. Moreover, in having a global and regional perspective, UNODC has a comparative advantage to help build the capacity of Member States to collect, monitor and report credible and sound data. The lack of an operational UNODC-wide knowledge management strategy has limited the leveraging of research and analysis work for potential impact. While UNODC has expanded its research and analysis through global and regional transnational organized crime threat assessments and thematic assessments, such as the *Global Study on Homicide*, the use and functional value of these products as evidential basis for policymaking and operations have been unclear.

45. In an effort to improve evidence-based decision-making, UNODC has made some progress in developing standards for crime statistics and establishing networks of practitioners. The creation of the Centre of Excellence for Crime Statistics in association with the National Institute of Statistics and Geography of Mexico, for example, has constituted a milestone in strengthening this role. In addition, global knowledge compendiums such as the Tools and Resources for Anti-Corruption Knowledge, the platform that connects anti-corruption authorities and practitioners, or the Digest of Organized Crime Cases, which compiles illustrative cases and related investigative and prosecutorial techniques are good practices to note. In addition, as part of an international quality assurance programme, UNODC has helped to harmonize the quality of work that national drug testing and forensic science laboratories perform.

**Growing UNODC mandates have not been supported by flexible extrabudgetary funding and fully aligned programme planning that is reflective of field priorities**

46. Organizationally, UNODC has been continuously in transition, and is still evolving from consolidating its drugs and crime programmes, the expansion of international legal instruments and mandates, and the increasing complexity of its work. Amid these changes, the regular budget contributions to UNODC work have remained stagnant. While the extrabudgetary resources have increased substantially from $81 million in 2005 to $273 million in 2011, they have become more rigidly tied to donor priorities and expenditure earmarkings partially because mandates of UNODC often relate to national security-related priorities.

47. Meanwhile, the growth of mandates has not always been matched by a coherent and comprehensive repositioning of the strategy, priorities and work

methods of the Office. UNODC strategies for 2008-2011 and 2012-2015 have moved away from projects to an integrated programme approach, creating thematic and interdivisional task forces. However, UNODC still lacks a comprehensive vision to address strategic gaps and link its operations. In particular, there are numerous challenges to maintaining a coherent corporate strategy and vision, as a result of complex governance, management and programme structures of UNODC, as illustrated by the fact of it having two governing bodies; three cross-cutting functions; four divisions; five substantive themes; and seven subprogrammes, all of which project a slightly different manner of alignment between substantive priorities and organizational practices. Meanwhile, the biennial strategic framework has continued to expand in scope (see table 6).

Table 6
**UNODC subprogramme structure**

| *Bienniums* | *Number of subprogrammes* | *Number of logframe elements** | *Budget[a]* | *Share of regular budget resources* | *Output estimates* |
|---|---|---|---|---|---|
| 2008-2009 | 3 | 17 EAs 38 IoAs | 482 701 | 39 306 (8 per cent) | 2 081 |
| 2010-2011 | 3 | 16 EAs 42 IoAs | 506 453 | 41 292 (8 per cent) | 1 473 |
| 2012-2013 | 7 | 26 EAs 58 IoAs | 517 433 | 39 191 (7.5 per cent) | 1 790 |
| 2014-2015 | 9 | 29 EAs 61 IoAs | N/A | N/A | N/A |

* EAs: Expected Accomplishments; IoAs: Indicators of Achievement.
[a] A/66/6 (Sect. 16); E/CN.15/2011/22.

48. Despite UNODC inroads in transitioning to an integrated programme approach, the reality remains that operations are largely driven by a project-level approach. Meanwhile, field visits revealed the lingering fragmentation among multiple strands of organizational strategy with no clear downstream or upstream linkages between the multiple layers of planning documents. The quality and standards of the various regional and country-level planning documents are uneven, which further complicates alignment with the UNODC global strategic framework. Programme plans are not available in all field offices, and in some, only project-level plans are used. Recently, the Division for Operations issued a management instruction to ensure a corporate approach for some indicators of achievement and is further developing sets of standard outcome-level indicators for use in country and regional programmes. There is an urgent need for UNODC field and headquarter managers to meet and agree upon an integrated and comprehensive corporate plan to ensure ownership and dissemination. The annual field representative seminar provides such an opportunity, as it will be tasked to review the new draft guidelines and standards for programme design before management adoption. UNODC needs a sharper programmatic focus to strengthen its corporate vision as corroborated by a number of unimplemented recommendations from previous oversight reports.

**There are insufficient capacities and support for results-based management, sharing of lessons learned and accountability**

49. As indicated above, UNODC results monitoring and reporting are weak and lack cross-cutting guidance and support structures. This, in turn, influences the quality of evaluations. Plans and methods for assessing progress against objectives have been unstructured and driven by uneven field capacity for monitoring results and diverse extrabudgetary reporting requirements. Although practices and procedures for monitoring financial expenditure and completion of activity and outputs are in place and adhered to, results monitoring and reporting is limited in scope and quality. OIOS noted that the Programme Review Committee should be responsible for assessing results and progress towards objectives by reviewing the thematic, regional and country programmes, but it is not done consistently.[29] More broadly, the methodological guidance in support of assessing outcome-related progress is weak. In fact, there is a risk that the recent emphasis on evaluations can have an inadvertent side effect of undermining managers' sense of responsibility for ongoing monitoring and reporting pertaining to results of their own outputs. Some offices are more advanced than others in the degree to which they assess results, but most of these efforts are still done at the project level. The UNODC-wide tool available to track performance (ProFi) is inadequate for capturing programmatic results and the data presented in the global tool (IMDIS) does not capture fieldwork and is not used in the country offices. OIOS notes the recent progress UNODC has made in tracking thematic performance indicators as a step in the right direction.

50. Corporate performance indicators are not known in most field offices and outcome indicator review is weak. In some cases, indicators over-reported actual performance and could not be verified against official databases; for example, the number of ratifications. The status of monitoring and reporting in the field locations visited by OIOS shows that at the programme level there is inconsistent availability of programme logframes, programme officer support for monitoring and reporting, and annual reporting (see table 7).

Table 7
**Monitoring and reporting**

| *Office* | *Programme logframe* | *Monitoring and reporting** | *Programme Officer support* | *Programme performance report** |
|---|---|---|---|---|
| Afghanistan | Yes | F, A, O, P, R | Yes | APR |
| Panama | Project-based | F, A, O, P, R — in progress | In progress | Project-based |
| Mexico | Project-based | F, A, O, P | In progress | Project-based |
| Pakistan | Yes | F, A, O, P, R | Yes | Project-based |
| South Africa | In progress | F, A, O, P | Project-based | Project-based |
| Indonesia | Yes | F, A, O, P, R | Project-based | APR |

[29] See UNODC/MI/2010/01 (Management Instruction, Programme Review Committee), 21 June 2010.

| *Office* | *Programme logframe* | *Monitoring and reporting** | *Programme Officer support* | *Programme performance report** |
|---|---|---|---|---|
| Myanmar | Project-based | F, A, O, P | No | Project-based |
| Vienna | Yes | F, A, O, P, R | No unit dedicated to monitoring/ reporting | Last public APR in 2010 |

* F: financial; A: activity; O: outputs; P: project-based; R: results; APR: Annual Performance Report.

51. UNODC has strengthened its evaluation function recently. Following a period of being defunct (2006-2008), it was re-established as the Independent Evaluation Unit, reporting directly to the Executive Director. Since 2008, it has established a body of evaluation guidance and practice yielding 89 evaluations with approximately 819 recommendations; 79 of the 89 were project evaluations that external consultants undertook and there were 2 in-depth and 8 thematic evaluations. However, the increase in the volume of evaluations is not necessarily matched by utility, which remains constrained by weak mechanisms for follow-up to enforce implementation of the recommendations.

## E. Regional operations have contributed to a more responsive set-up; however, challenges remain with field operational strategy and partnership coordination

52. UNODC has moved to a regionalized approach for field operations. While constrained by funding difficulties, UNODC has revitalized the Regional Centre for East Asia and the Pacific by implementing a regional strategic framework, establishing a set of goals and indicators, and issuing annual performance reports. Other offices such as the Regional Office for Central America and the Caribbean are following suit, but they are constrained by the lack of sufficient technical expertise. Key beneficiaries asserted that UNODC should provide expert support and less generic project-management services. While UNODC places some experts in the regional offices through global projects, this is not the norm. Concentrating a cadre of thematic experts in each regional office may strengthen operations and enhance coordination and cooperation with headquarters and between the regions.

53. UNODC field presence has evolved, driven by political considerations associated with funding availability from donor countries, combined with variable interest by countries to host an office. UNODC has not conducted a comprehensive needs assessment to determine its priorities in the field. The regional transnational organized crime threat assessments are still in progress and have not yet served as sources of evidence-based information or as drivers of internal decision-making. The type of office, post levels and reporting lines between Vienna and the field mostly reflect ad-hoc decisions that do not necessarily correspond to any clear operational logic or strategic need. UNODC is reviewing the challenge presented by global programmes with regard to the field in an ongoing interdivisional review to produce programme standards.

54. UNODC has leveraged partnerships with a number of organizations, for example, the United Nations Development Programme, the Joint United Nations Programme on HIV/AIDS, the World Health Organization, the World Bank, the

International Labour Organization, the International Organization for Migration, the United Nations Children's Fund and the International Criminal Police Organization. In other instances, however, and sometimes with these same partners, UNODC has competed for funding and operational activity. Overall, UNODC adds unique value in its normative services and counter-narcotics work, as Member State and partner interviewees confirmed. However, in other areas of technical assistance such as human trafficking, the smuggling of migrants, the rule of law and, to a certain extent, sustainable livelihoods, the field is more crowded and in some instances UNODC and its partners have not leveraged their respective comparative advantages.

55. In addition, as the operations have been regionalized and the focus of the work has increasingly moved to broader notions of linkages between rule of law and development, UNODC has not yet fully leveraged its relationships with regional partners. For example, UNODC could further strengthen analytical and operational partnerships with regional policy and knowledge institutions, such as the regional commissions, and collaborate further. UNODC operational areas need to be clear and based on its unique value-added or comparative advantage within a partnership setting.

# V. Conclusion

56. UNODC has responded to the needs of countries that grapple with legislative and institutional capacity gaps across an expanding canvas of arenas for intergovernmental discussion and national concern. It has performed particularly strongly in its core normative function, supporting countries in their deliberation over and ratification of key international legal instruments and associated enabling policies. When it comes to the research and analysis function, various UNODC flagship publications, especially the annual *World Drug Report*, have influenced debate in the international security, rule of law and development arenas. At the country level, outcomes are principally derived from coca and opium crop surveys in select producer countries, which have served as direct input to national counter-narcotics and alternative livelihoods strategies. The recent UNODC series of transnational organized crime threat assessments are also receiving considerable attention, but their influence on ensuing policy and institutional change is unclear.

57. While UNODC has enabled capacities through technical assistance, it is clear that its limited resources can cater only to a miniscule proportion of the institutional strengthening needs of Members States to face the challenges of organized crime and illicit trafficking, crime prevention and criminal justice reform, corruption and economic crime, and health and livelihoods. Both UNODC staff and external stakeholders view it as an organization driven by the necessity of fund-raising, thus arguably having become overly responsive to donor priorities, rather than to the pressing needs and priorities of the "programme countries". The resource mobilization imperative translates into much more dynamism for justifying new proposals for activity than documenting the results that follow from the work to ensure value-added.

58. UNODC has delivered important results across a growing body of mandates; however, more attention to evidence-based analysis, alignment of corporate vision with programmes and accountability would make its work more effective. The overarching challenge that UNODC faces is to distil its competencies, operational focus and partnerships around areas to which it can bring unique value-added or

comparative advantage, by way of mandate, expertise and proven performance. In the technical assistance area, in particular, it has to make choices and consider what others may be able to do equally well or better.

# VI. Recommendations

59. Subject to review by the Committee for Programme and Coordination, OIOS makes the following five important recommendations, which UNODC has accepted. The complete text of the UNODC management response to the present report is in its annex.

**Recommendations**

**Recommendation 1**

UNODC, through participation by and ownership of headquarters and field offices, should further focus on translating its corporate vision through fully integrating its functional areas and aligning its thematic and geographic programmes, and also factor in research data and threat assessments when determining where it should concentrate its competencies and operations. [paras. 40-41; 43-45; 47-48; 53-55 of the report]

**Recommendation 2**

UNODC should operationalize an integrated knowledge management strategy to leverage its unique technical competencies and policy solutions and strengthen its research and analysis function. [paras. 37; 44-45]

**Recommendation 3**

UNODC should clarify and improve its functions for guidance and support, possibly through the creation of a standing mechanism, to: (a) programme planning and monitoring; (b) alignment of operational programmes with corporate plans; and (c) results-based management and results reporting. [paras. 37-38; 40-42; 49-50]

**Recommendation 4**

UNODC should further implement its fundraising strategy with special focus on reducing earmarking of extrabudgetary contributions. [paras. 46; 53]

**Recommendation 5**

UNODC should establish a mechanism to ensure formal, systematic tracking of and periodic reporting to Member States on organizational actions that it takes in response to the recommendations made by the Independent Evaluation Unit. [para. 51]

(*Signed*) Carman L. **Lapointe**
Under-Secretary-General for Internal Oversight Services
27 March 2013

# Annex

## Management response dated 26 March 2013 to the evaluation of the United Nations Office on Drugs and Crime

1. The United Nations Office on Drugs and Crime (UNODC) would like to extend its gratitude to the Office of Internal Oversight Services (OIOS) for the opportunity to provide comments on the above-mentioned report. UNODC fully acknowledges the importance of this evaluation and thanks OIOS for the consultative and transparent approach throughout the evaluation process.

2. The Office appreciates the finding that UNODC has performed strongly in its normative functions in providing support to countries for ratification of key international legal instruments and to develop associated enabling policies. The report also underlines the importance of UNODC flagship publications, especially the *World Drug Report*, as well as the recent UNODC series of transnational organized crime threat assessments. UNODC takes note of the evaluation proposals for the further integration of UNODC analytical work into decision-making and operations, and of the findings that important region- and country-specific results related to strengthening institutional capacity to implement policies and enable action in addressing drugs and crime challenges were achieved.

3. Regarding programme integration, UNODC appreciates the report's acknowledgement of important progress made in integrating its work along thematic areas in the 2008-2009 and 2010-2011 biennial performance. UNODC confirms the OIOS finding that funding is still primarily provided at project levels and informs that, for this reason, UNODC has progressed further in the current biennium in ensuring that most operational projects are linked to both thematic programmes and/or regional/country programmes.

4. UNODC has studied the report carefully and confirms that the findings and recommendations will further support UNODC ongoing institutional development work, and will further inform several initiatives started by UNODC senior management in 2012 and 2013.

5. UNODC concurs with the recommendations of the report and would like to share the Office's overall perspectives on these. The items below form part of a larger UNODC action plan and are to provide some examples on how the recommendations will be implemented.

**Recommendation 1**: UNODC accepts this recommendation, and is well aware of the need to strengthen the links between thematic and country/regional programmes. This is an ongoing UNODC priority effort receiving full management attention. UNODC field programmes approved in the ongoing biennium contain visible and articulated links with thematic and global programmes. A more explicit, consultative process for planning and approving programmes has recently been promulgated. Efforts will be made to ensure stronger links between research findings and field operations.

**Recommendation 2**: UNODC welcomes the proposal for a renewed effort to update and fully implement a knowledge management strategy to leverage its unique competencies and strengthen its research and analysis functions. UNODC confirms

that a knowledge management strategy had already been developed in 2009, which will be revisited.

**Recommendation 3**: UNODC accepts this recommendation and subscribes to the need to further formalize its approach to providing guidance and support to planning, monitoring and reporting on results, thereby ensuring alignment of programme plans with programmatic priorities. As already stated in the management response to the independent evaluation of the integrated programming approach of 2012, UNODC recognizes the need to further streamline corporate policy and planning functions to provide oversight of programme planning, monitoring and reporting. The best options for doing so are under senior management consideration, with full regard to the latest United Nations regular budget and post cuts, which also affect UNODC.

**Recommendation 4**: UNODC appreciates and accepts this recommendation and would like to state that the implementation of its fundraising strategy is currently under way. The recommendation states that earmarking of extrabudgetary contributions should be reduced. UNODC welcomes this position and looks forward to collaborative action with internal and external stakeholders, but, recognizing the reality of its dependence on extrabudgetary funds, would not like to develop specific targets for more flexible funding at this time.

**Recommendation 5**: UNODC fully accepts this recommendation. The Independent Evaluation Unit is about to launch its online tracking system of evaluation recommendations. Periodic reporting to Member States and management, both on evaluation findings and actions taken as a response to evaluation recommendations, are taking place periodically. UNODC appreciates the attention that OIOS places on the need to track the implementation of evaluation recommendations.